

**Iowa Department of Inspections and Appeals  
Response to Administration and Regulation Appropriations Subcommittee**

- 1. *How many employees do you have? What's the five year trend for staffing levels?***

**340 employees representing 281.30 FTE, excluding State Public Defender and seasonal employees.**

**For the five year trend, we would refer you to the Legislative Blue Book for Administration and Regulation, page 65.**

- 2. *How are the above employees classified? How many are exempt, non-exempt and collective bargaining?***

**DIA has 48 different classifications within the department. Of those 3 are merit-covered, non-contract; 31 are merit-exempt, non-contract; 17 are merit-covered, contract with IUP; and 289 are merit-covered, contract with AFSCME.**

**See attached list of classifications and the breakdown of merit and contract status.**

- 3. *How many of your FTE's are federal funded?***

**There are 11 staff fully funded with direct federal funds. Most of the remainder of the staff, except the Racing and Gaming Commission, are partially funded with either direct federal funds or pass-through federal funds from other agencies.**

- 4. *How many Federal grants does your agency receive and what's the matching rate? What's the future matching rate anticipated to be? How much Federal funding?***

**DIA receives the following nine Federal grants with matching rates and in amounts as shown, and, at this time, we do not anticipate any change in the matching rates:**

<u>Grant</u>	<u>Match Rate</u>	<u>Amount</u>
FDA Retail Food Standards	None	\$70,000
FDA Manufactured Foods	None	\$300,000

FDA Rapid Response Team	None	\$300,000
FDA Processing Inspections	None	\$123,785
FDA Food Safety Task Force	None	\$10,000
USDA COOL	None	\$28,200
HHS/CMS Medicare & Medicaid	Various dependent on program	\$5,495,410 Medicare \$3,369,196 Medicaid
HHS/CMS Medicaid Provider Fraud	25%	\$841,596
HHS/CMS - CLIA	None	\$268,333

**5. *How many early retirements were taken?***

**35, excluding State Public Defender, took advantage of SERIP.**

**6. *Of those openings, how many have been filled?***

**All but 6 positions were filled.**

**7. *What are your ideas to make service delivery in your Department more efficient?***

**Over the last ten years, DIA has continually sought ways to improve service delivery. Much of this has been done through the use of information technology.**

**To further improve service delivery, greater utilization of information technology would be beneficial.**

**8. *Share the progress of your Department's "Lean" projects.***

**Since October 2011, we have participated in three "Lean" projects. Following is a summary of each project:**

**October 24-28, 2011 DIA conducted a Value Stream Mapping event with our Health Facilities Division (HFD). Resulted in a change of how survey assignments are made, consolidation of databases and cross training of staff.**

June 11-14, 2012 DIA conducted a joint Kaizen event with DHS. DIA's Investigations Division partnered with DHS to look at eligibility investigations. As a result DIA has created two investigation protocols. One is a shorter with quick turnaround time for front end investigations and then a more in-depth, lengthy investigation for ongoing eligibility investigations. Communication between the two agencies has dramatically improved since the Kaizen. There is now a greater understanding of what each agency does in the process.

October 29 – November 2, 2012 DIA conducted a Kaizen with our Health Facilities Division's Complaint Unit. As a result of this Kaizen DIA is examining technology options that could make the surveyors more efficient in their work. A more stream lined survey method for complaint/incident investigations was created. Quarterly staff meetings have been established to share best practices and improve communication.

***9. How much of your revenue comes from other state agencies?***

For FY12, \$7,585,839 came from other state agencies through pass-through or reimbursement. The majority of this money was from federal funds given to the state agency and passed-through to DIA.

***10. How much of your revenue comes from fees?***

For FY12, \$1,683,720 was received in various licensing fees and deposited in the General Fund, while \$946,689 was received in licensing fees and retained by the department as allowed by law. In addition, \$5,815,494.96 in regulatory fees and license fees was received by Racing and Gaming and deposited in the Gaming Regulatory Revolving Fund.

***11. What has been your five year budget trend?***

We would refer you to the Legislative Blue Book for Administration and Regulation, pages 53 and 58, for the five year budget trend for General Fund and Other Funds.

***12. Regarding current FY 13, how does your current budget situation look? Do you expect any savings?***

We are monitoring the current budget situation closely, as we anticipate the budget will be tight. At this time, we do not anticipate any savings.

***13. Have there been any recent reclassifications of individuals in your department? How many and what were the changes?***

**For FY13, there have been 10 reclassifications. See attached chart.**

***14. In regard to monetary bonuses, how do you measure employee outcomes?***

**No bonuses have been awarded to any employees.**

Classification	Non Contract		AFSCME		IUP	
	Merit	Merit Exempt	Merit	Merit Exempt	Merit	Merit Exempt
Accountant 4		1				
Accounting Tech 2			3			
Accounting Tech 3			1			
Administrator/R&G		1				
Admin Assistant 1			7			
Admin Assistant 2	1		12			
ALJ 1			1			
ALJ 2			16			
ALJ 3		1				
Attorney 2			1			
Attorney 3		2				
Clerk Specialist			2			
Compliance Officer 1			2			
Compliance Officer 2			2			
Community Health Consultant	1					
Director		1				
EAB Board Member		3				
Environmental Specialist					15	
Environmental Specialist Sr					2	
Executive Officer 1		2	8			
Executive Officer 2			2			
Executive Officer 4			1			
Field Auditor			7			
Gaming Representative 2			33			
HF Surveyor			82			
HFO 1			17			
HFO 2			6			
Investigator 3			35			
IT Specialist 2			1			
IT Specialist 4			1			
ITS Worker 2			3			
ITS Worker 3			1			
Licensing Assistant			13			
Paralegal			1			
Program Planner 2			26			
Program Planner 3			1			
PSE 1		1				
PSE 3		2				
PSE 4		5				
PSE 5		3				
PSE 6		1				
Racing Steward, Equine		2				
Racing Veterinarian, Canine		1				
Racing Veterinarian, Equine		3				
Secretary 1			3			
Secretary 3		2				
Training Specialist 2	1					
Word Processor 3			1			
<b>TOTALS</b>	<b>3</b>	<b>31</b>	<b>289</b>	<b>0</b>	<b>17</b>	<b>0</b>

FY2013 Reclassifications - Agencies 427 & 429				
	FROM		TO	
Number	Classification	Paygrade	Classification	Paygrade
1	Admin Law Judge 2	38	Admin Law Judge 1	35
6	Adult Services Monitors	31	Health Facilities Surveyors	31
1	Acct Tech 1	17	Acct Tech 2	20
1	Secretary 2	20	Admin Assistant 2	24
1	Investigator 2	26	Investigator 3	28